SUBJECT: Policy Guidance for Restructuring the Overseas Workforce

     Recent decisions to restructure overseas missions and to more sharply focus program initiatives, along with budget-driven staffing reductions, suggest the need for a workforce planning tool for determining the number and skill categories of employees required to manage USAID programs overseas.

     An analysis of overseas staffing requirements consistent with recent recategorization of our missions was coordinated by the office of Management Planning and Innovation (M/MPI) with wide representation from the regional and central program bureaus.   The Overseas Workforce Restructuring Analysis, approved by the Administrator on 7/29/96, was performed under the guidance of an advisory group of senior Agency managers. Subsequently, the analysis was distributed to all bureaus for clearance and comment.

     Final determinations on the precise number and types of staff in each country will be dictated by the facts of the specific case and management judgement. However, this guidance will be a valuable tool for Agency managers as our overseas programs and staff are reduced. In addition to providing guidance for determining the size and mix of staff for various overseas organizations and for differing programmatic requirements, the report is also intended be used as a basis for broad Agency resource decisions.

     The attached policy is being incorporated in the new Agency Directives System as supplementary guidance to ADS Chapter 100, Organizational and Executive Management.

     The point of contact for questions regarding this notice is Ronald Olsen, M/MPI/OD, 202-647-2083.

Notice 748

OVERSEAS WORKFORCE RESTRUCTURING ANALYSIS

July 23, 1996

Office of Management Planning and Innovation
Bureau for Management

PREFACE

This report is intended to provide guidance to Agency managers in determining the appropriate size and mix of staff necessary to carry out USAID programs under various country organizational configurations. It is also intended to provide a basis for broad Agency resource decisions. Final determinations on the precise number and types of staff in each country will be dictated by the facts of the specific case, application of the guidance in this document and management judgement.

OVERSEAS WORKFORCE RESTRUCTURING ANALYSIS

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PART I

GENERAL ASSUMPTIONS

1. Full mission programs will support sustainable development by addressing key development constraints that are within the mission's demonstrated manageable interests. Full mission programs will normally address three or more Agency goals and the missions' articulated strategic objectives will contribute to the identified goals.

2. Limited mission programs will address one to two Agency goals. Exceptions may be granted where there is a compelling development need.

3. No USAID staff will be maintained in exit (non-presence) countries to manage continuing programs, except in highly unique situations.

4. Exit (non-presence) country programs should not require significant support or management from other full or limited missions. When significant support is required, Regional Bureaus are expected to conduct cost-benefit studies to determine whether Washington or field mission support to continuing programs in Exit countries is most advantageous to the Agency.

5. Transition country missions may fall in the category of full, limited or exit. The number of activities undertaken in transition countries will be determined on the basis of U.S. objectives with regard to that country, the nature of the instability in the country and the ultimate outcomes desired.

    Full missions in transition countries will differ from regular full missions in that the strategy will normally address shorter term objectives. In these countries, USAID would expect to disengage once the democratic and/or economic transitions are consolidated and can be expected to continue without USAID support. Some transition graduates will be considered as candidates for sustainable development programs.

6. New regional approaches may require enhanced levels of management resources and time to integrate USAID and USG resources more effectively and with those of indigenous partners and other donors. Staffing of Missions should be reviewed with this regional perspective in mind and staffing decisions made according to this principle.

7. Non-direct hire staff (U.S., TCN, FSN)(PSC, IPA, PASA, JCC)

will be an acknowledged part of the USAID core workforce.

8.   Within the allocations provided by USAID/W and in compliance with established Agency workforce policy, USAID principal officers overseas will have the authority to make decisions on the use of OE funds and to determine how personnel services will be acquired and from what sources.

9.   Bureaus will have the option to assign field based regional support staff to a full mission or regional center, e.g., REDSO, but the total staff level for the region will not exceed the total overseas staff levels authorized by M/B.

10.   Within the time frame for transition to the overseas restructuring plan, the full suite of the New Management Systems (NMS) and supporting hardware will be installed and operational for all full missions with appropriate technology in place in limited missions for tie-in.

11.   The relative capabilities and availabilities of educated and experienced foreign service national staff in a given country will be important factors in determining if overall staffing levels are at the "high" or "low" ends of the indicative staffing ranges which are established for each category of USAID mission.

12.   Implementation of activities will continue to be carried out by intermediaries to the maximum extent possible, where it is found to be the most effective approach. The intermediary will be responsible for procurement, administrative services, transportation, etc. of the program technicians and commodities. The core USAID staff will provide oversight/management and normally will not be engaged in direct activity management. This assumption would not preclude more substantial involvement of USDH staff in policy reform and cash transfer programs.

13.   Greater participation by development partners on expanded strategic objective teams and greater competition for scarce development assistance dollars may increase the Agency's exposure to disputes and litigation.

14.   While performance based contracts, grants and cooperative agreements may be more time consuming -- both at the planning and achievement phase -- and may increase the workload associated with conflict resolution, they are to be our primary method of contracting.

15.   The mix and number of organizations implementing USAID activities are anticipated to remain relatively constant, while percentages for some groups may fluctuate.

16. Humanitarian programs normally will be implemented by private and voluntary, non-governmental or public international organizations.

17. Adequate travel funds combined with increased virtual team experience will allow USAID/W direct-hire assistance with strategic planning and the work of the strategic objective teams. It is important to the sound management of Agency business that USAID/W have adequate resources available to travel to missions and provide on-site support to field activities.

18. Full missions normally will be the principal training ground for IDIs and other new hires in their first overseas assignment. It is anticipated that IDIs will continue to carry their own FTE ceiling and are not reflected in the staffing projections in this paper.

19. The principal officer in limited missions may have to do "double duty," in some instances performing program or technical functions.

20. The use of "virtual" team members is anticipated to increase in all missions, especially in the case of limited missions; this will require that adequate staff be available in Washington, particularly in the Global Bureau, to participate as team members.

21. Ad hoc and special reporting demands imposed by USAID/W and the Embassy probably will continue. Recurring reporting requirements are anticipated to be met increasingly through the New Management Systems (NMS).

22. Both formal and on-the-job training will be used to the extent funds are available to broaden the skills of USAID staff.

23. The International Cooperative Administrative Support System (ICASS) is established to allow USG agencies overseas a framework for purchasing and for providing services cooperatively, and it is to be utilized at each post to the maximum extent practicable and economical.

24. Where USAID is a provider of services to other agencies under ICASS arrangements, any additional resources (human or material) required to ensure the delivery of such services will be fully funded by the recipients through ICASS payment mechanisms.

25. The location and assignment of Controllers, Executive

Officers, Contracting Officers, and Regional Legal Advisors to overseas organizations will normally be based on mission category and size (including geographic and post-specific criteria), rather than program content and complexity as is the case with program and technical staff.

OVERSEAS WORKFORCE RESTRUCTURING ANALYSIS

PART II

INDICATIVE STAFFING LEVELS

A.   Mission Management

B.   Financial Management

C.   Regional Legal Advisory and Contracting Services

D.   Administrative Management

E.   Technical Specialist Services

F.   Program Management

G.   Secretarial and Clerical Services

OVERSEAS WORKFORCE RESTRUCTURING ANALYSIS

A.   MISSION MANAGEMENT

Senior Management: Model Staffing Levels

USAID Presence	FULL w/ support to Limited	FULL	LTD: 2 Agency Goals, PL-480 & trust funds	LTD: 2 Agency Goals	LTD: 1 Agency Goal	Limited Humanitrn.	Transition
USDH	2	1-2	1	1	1	0	0-2
FSN							
Non-DH US							
TOTAL	2	1-2	1	1	1	0	0-2

I.   ASSUMPTIONS:

o   USAID principal officers overseas will retain authority over and be held accountable for Agency resources, both fiscal and human, and the design and implementation of development programs.

o   Directors of full missions with responsibility for providing support services to neighboring limited missions and exit program countries will have their work performance judged, in part, through specific objectives which address regional support responsibilities.

o   USAID principal officers at limited missions may assume, in addition to their representational and overall management and supervisory responsibilities, specific line program management and/or technical responsibilities.

o   As a matter of policy, in those countries where the USG is committed to long-term humanitarian relief, normally a USDH employee must be assigned to represent the Agency; the technical or program management staff assigned to leadership positions in limited humanitarian missions normally will be designated as SMG.

II. __INDICATIVE STAFFING LEVELS__:

The assignment of senior staff to USAID missions should be determined with reference to established organizational criteria. The size of mission management can be derived from both the overall size of the USAID staff in-country and the complexity of the program. Existing published guidance remains in force, per ADS Section 102.5.6 and Procedural Guidance E 102.5-6.

Full missions having 10 or more USDH staff can qualify for a Deputy Director position, when justified by the complexity of the program, representational responsibilities of the principal officer, or regional support responsibilities. Limited missions normally will not be authorized a full-time Deputy Director position.

USAID missions which do not have deputies can opt to organizationally designate senior USDH employees as "Assistant Directors" in addition to their regular line responsibilities. While these positions would not be considered SMG positions, they provide excellent "stretch" opportunities to allow individuals to gain management experience as well as an opportunity for Agency senior management to observe the leadership performance of promising staff.

B.   FINANCIAL MANAGEMENT

Financial Management: Model Staffing Levels

USAID Presence	FULL w/ support to Limited	FULL	LTD: 2 Agency Goals, PL-480 & trust funds	LTD: 2 Agency Goals	LTD: 1 Agency Goal	Limited Humanitrn.	Transition
USDH	2-3	1	0-1	0	0	0	0-1
FSN	16-19	9-11	5-6	3-4	3	0-3	0-11
Non-DH US							
TOTAL	18-22	10-12	5-7	3-4	3	0-3	0-12

The Financial Management staffing of USAID missions will be determined by the size and complexity of the program. Any program that has USAID direct-hire personnel in country will have at least three foreign service nationals to provide financial management services. The staffing levels contained in this report were developed for use as a model upon full implementation of the NMS and AWACS. The models are based on an analysis of the financial functions and where the function will be performed.

I. <u>ASSUMPTIONS</u>:

o   Consistent with Congressional intent in the establishment of a separate operating expense (OE) appropriation, all financial management staff and related expenses will be funded from the OE account. The question of whether Financial Analysts who are members of the Strategic objective team can be Program Funded is currently under review by GC.

o   Each Full Mission overseas will be an accounting station with NMS and AWACS capability. Each Limited Mission will not have AWACS on site but will have sufficient technical and telecommunications capability in place to have accounting services and financial management oversight provided by a Full Mission or by USAID/W. Transition countries with significant programs may require a USDH controller on the ground even though the Mission is not an AWACS site.

o   Close-out (exit) missions will determine their financial
    management requirements through the development of close-out
    plans.

o   Staffing configuration is based on the definitions of "Full,
    Limited, Exit and Transition" provided to the team.

o   IDIs are not included in the proposed staffing estimates and
    they will not count against a mission's regular staffing
    allocation until the IDI graduates.

o   Implementation of activities will continue to be outsourced
    to the maximum extent possible. The contractor and/or
    grantee will be responsible for the procurement of activity
    commodities and administrative support services
    (transportation, ticketing, housing, customs clearance, etc.)
    both in the home location and at all in-country locations, of
    the contractors or grantee's employees. The core USAID staff
    will provide oversight/overall management and normally not be
    engaged in direct activity management.

o   At each location requiring financial management staff there
    are qualified Foreign Service Nationals readily available to
    perform the necessary financial management functions.

II. <u>INDICATIVE STAFFING LEVELS</u>:

<u>FULL MISSIONS</u>

This category would probably consist of two types: (1) Full
Missions with responsibilities for two or more Limited Mission
programs, and, (2) Full Missions with no regional
responsibilities. Except in those instances when additional
resources can be justified, staffing levels in Full Missions are
expected within the following ranges:

1. FULL MISSIONS WITH RESPONSIBILITIES FOR SUPPORTING LIMITED MISSIONS

This is a mission which is normally addressing three or more
Agency goals, with strategic objectives (SOs) that probably will
include numerous traditional bilateral-type activities; may have
trust funds and/or host country-owned local currency accounts;
is formally delegated regional support responsibility for
designated Limited Missions and is directed to provide financial
management support to Limited Missions:

    Controller (USDH)[1]   2 - 3

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[1]In every "full" mission that supports more than one "limited" mission it is expected that normal

Foreign service nationals (FSN)[2]   16 - 19

2. FULL MISSION WITHOUT REGIONAL SUPPORT REQUIREMENTS

This is a mission normally addressing three or more Agency goal
areas; will not have any trust funds, but may have limited
responsibility for host country owned local currency (PL 480 and
Cash Transfer); and provides no continuing services to Limited
Missions. Full Missions may also include transition countries
with a significant number of activities. The total U.S. staff
would total ten to twelve employees. Financial Management
staffing requirements would be:

    Controller (USDH)   1

    Foreign service nationals (FSN)   9 - 11

Note: In those "Full" mission locations where the U.S. Embassy
Cashier or local financial institution provides the full range
of cashier services to USAID, the maximum FSN level would be
reduced by one.

LIMITED MISSIONS

Limited Missions will have fewer staff and should not normally
address more than two Agency goals. There are three basic types
of Limited Missions; Sustainable Development, Humanitarian and
Transition. These small missions will normally have 1 - 5 U.S.
employees.

Each Limited Mission will be associated with a neighboring full
mission, which will be required to schedule and provide
professional financial management support.

It is anticipated that the core staff of Limited Missions will
not include a USDH Controller except in the rare instance
(defined as when there are five USDH and extensive local
currency programs or in the case of a transition program

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re will be 2 USDH Financial management Officers. In the rare case where the "full" Mission program
  overly complex and only one "limited" mission with 1 Agency goal is supported it may be possible
e only the USDH Controller and the FSNs for the financial management staff.

[2]FSN staff to support "limited" missions is based on the following:
  1 accountant will support 2 clients;
  1 voucher examiner will support 2 clients;
  1 administrative staffer will support 4 clients; and
  1 financial analyst will support 3 clients.

involving complex financial transactions) where it is apparent
that adequate financial management requirements cannot be met by
local FSNs with USDH Controller oversight from a neighboring
Full Mission.

The Controller of the designated Full Mission will assume
responsibility for ensuring that the local arrangements for
supporting Limited Missions are sufficient. A major component
of Limited Mission support is the identification, recruitment
and training of foreign service national staff and, where deemed
necessary, non-career U.S. employees.

3. COMPLEX LIMITED MISSION WITH 2 AGENCY GOALS

Mission may have extensive activities within Agency goals, as
evidenced by the number and complexity of the SOs, no trust fund
but may have limited PL 480 Title II and/or Title III
activities, host country owned local currency and U.S. staff of
4-8 employees.

Controller (USDH)	0 - 1
Foreign service nationals	5 - 6

4. LIMITED MISSION WITH 2 AGENCY GOALS

Mission does not have extensive activities in the Agency goal
areas, and the SOs are not considered to be complex. There is
no trust fund, PL 480 Title II & III activity or host country
owned local currency and U.S. staff of 4-5 employees.

Controller (USDH)	0
Foreign service nationals	3 - 4

5. LIMITED MISSION WITH 1 AGENCY GOAL

Mission would probably have only 2-4 U.S. employees.

Controller (USDH)	0
Foreign service nationals	3

6. LIMITED HUMANITARIAN MISSIONS

Controller (USDH)	0
Foreign service nationals	0 – 3

7. TRANSITION MISSIONS

The need for financial management staff in a transition country
will be determined on a case-by-case basis, taking into
consideration the number and complexity of activities being
undertaken and the need for adequate on-the-ground financial
accountability.

Controller	0 – 1
Foreign Service Nationals	0 – 11

8. EXIT PROGRAMS

In those exit (non-presence) countries where USAID will maintain
program operations, financial management services will not be
required nor appropriate since it is anticipated that the
program will be implemented by NGOs or be "privatized" and thus
be USAID/W responsibility.

It is anticipated that Controllers in neighboring Full Missions
would only visit exit program countries in exceptional cases on
an ad hoc basis.

III. TRANSITIONAL GUIDANCE:

Regional Bureaus in consultation with FM are expected to pair
Limited Missions with neighboring Full Missions for purposes of
supplying continuing financial management services and training
to local staff; similarly, Full Missions with responsibility for
supporting significant numbers of Limited Missions and Exit
Program countries are identified and the type and extent of
support delineated.

C. LEGAL AND CONTRACTING SUPPORT

USAID is unique among the foreign affairs agencies in that it is the only agency with the authority to enter into, and account for, a large variety of financial obligations, whether loans, grants or contracts, in an international context, but subject to U.S. laws and regulations. Because of the vulnerabilities accompanying this authority, USAID missions need prompt and continuous access to Regional Legal Advisors (RLAs) and Contracting Officers (COs) who have detailed knowledge of field conditions and realities.

The reengineered operating procedures and procurement reform have had a significant impact on the demand for the services of COs and RLAs. The increased intensity of coverage has resulted from (1) the elimination of standardized documentation procedures and their replacement with new, more flexible and inclusive processes that require more teamwork; (2) broader participation of customers and stakeholders in the planning, achieving and judging of strategic objectives; (3) the use of performance-based agreements; and (4) the development of strategies and activities which are more closely tailored to each country's situation.

I. <u>ASSUMPTIONS</u>

o   The existing delegation of authority will remain intact enabling Mission Directors and other principal officers to negotiate, execute, amend and administer contracts, grants and cooperative agreements in an amount not to exceed $100,000 and personal services contracts up to $250,000.

o   The relative balance between cash transfers and other disbursement mechanisms will be maintained.

o   Greater participation by development partners on expanded strategic objective teams and shrinking dollars for development assistance will increase the Agency's exposure to disputes and litigation.

o   Substantial involvement of contracting officers and legal advisors is critical in planning, achieving and judging strategic objectives.

o   Performance based contracts, grants and cooperative agreements may be more time-consuming as we implement them, both at the planning and achieving phase, and will result in

the need for intense administration and greater involvement
of contracting officers and lawyers for conflict resolution
during the transition time.

o   The mix and number of organizations implementing USAID
    activities and the volume of acquisition and assistance
    actions will remain relatively constant.

o   USAID programs in non-presence countries will raise issues
    regarding privileges, immunities, duty free entry of goods
    and taxation for USAID funded activities.

o   Humanitarian programs will be primarily implemented by
    private and voluntary, non-governmental or public
    international organizations.

II. INDICATIVE STAFFING LEVELS - REGIONAL LEGAL ADVISORS

Regional Legal Advisors: Model Staffing Levels

USAID Presence	FULL w/ support to Limited	FULL	LTD: 2 Agency Goals, PL-480 & trust funds	LTD: 2 Agency Goals	LTD: 1 Agency Goal	Limited Humanitrn.	Transition
USDH	0-1	0-1	0	0	0	0	0
FSN							
Non-DH US							
TOTAL	0-1	0-1	0	0	0	0	0

Note: Regional Legal Advisors will each provide support to one full mission and two limited missions or to two full missions, as geographic placements dictate.

1. FULL MISSIONS WITH RESPONSIBILITY FOR SUPPORTING LIMITED MISSIONS

USAID should continue the practice of regional legal coverage, except in exceptional circumstances. RLA services encompass both the program and administrative aspects of USAID operations in the field. Therefore, the demand for legal services will generally closely parallel the level of human and budgetary resources at each post.

Where a mission has formal responsibility for providing support to neighboring limited missions, a U.S. Direct-Hire RLA may be placed in the full mission to support the full mission and at least two limited program missions. Depending on the mix of programs in a region, an RLA may alternatively provide coverage to two full missions. Normally, a direct-hire legal advisor will not be placed in a transition country mission unless special circumstances exist which would warrant such an assignment. RLAs should be co-located with COs, where possible, since they work in tandem on complicated procurement and assistance issues.

The placement of RLAs should take into consideration the suitability of transportation services, vulnerabilities, and program complexity and size. This may entail the placement of more than one RLA at a full mission or a regional support center.

2. FULL MISSIONS WITHOUT REGIONAL SUPPORT REQUIREMENTS

Legal coverage should be provided on a regional basis except in the most exceptional circumstances where U.S. foreign policy interests of a critical priority will require intense legal coverage, such as in Bosnia and Egypt. The dedicated services of one or more RLAs will be required in these instances because of the program complexity and vulnerabilities.

3. LIMITED MISSIONS

It is not anticipated that the core staff of a limited mission will include an RLA unless transportation services from the country would ensure the most efficient and rapid provision of services to all countries covered. As a general rule, the RLA from the neighboring full mission will provide the required legal services.

4. EXIT PROGRAMS

It is anticipated that in the absence of a bilateral agreement, programs in non-presence countries will raise issues regarding privileges, immunities, duty free entry of goods and taxation for USAID funded activities. RLAs assigned to the nearest full or limited mission will play a role in resolving such issues.

III.   INDICATIVE STAFFING LEVELS - CONTRACT SERVICES

Contracting: Model Staffing Levels

USAID Presence	FULL w/ support to Limited	FULL	LTD: 2 Agency Goals, PL-480 & trust funds	LTD: 2 Agency Goals	LTD: 1 Agency Goal	Limited Humanitrn.	Transition
USDH	0-2	0-1	0	0	0	0	0-1
FSN	3	3	1	1	1	0-1	0-3
Non-DH US							
TOTAL	3-5	3-4	1	1	1	0-1	0-4

1. FULL MISSIONS WITH RESPONSIBILITY FOR SUPPORTING LIMITED MISSIONS

In full missions with responsibility for providing contracting services to neighboring missions, normally one or two U.S. direct-hire Contracting Officers will be assigned. A full mission addressing three or more Agency goals and formal responsibility for supporting limited missions may have up to two U.S. direct-hire COs -- one to provide dedicated support to the full mission and a second to support up to three limited program missions or another full mission. In some instances, full missions will not have a CO assigned and, instead, will receive contracting services from a regional organization or from another neighboring full mission. A USDH contract officer may be assigned to complex transition country programs depending on the number and scope of planned procurement actions.

The COs servicing limited missions or full missions may be placed in regional organizations or, on occasion, in a limited mission. Co-locating COs in full missions provides for back-up during absences; however, placement decisions must take into consideration the transportation services, vulnerabilities, size and complexity of programs in limited missions, and the skill level of FSN contract specialists.

2. FULL MISSIONS WITHOUT REGIONAL SUPPORT REQUIREMENTS

Contracting services will be provided to full missions either from a regional organization, a neighboring full mission where a

Contracting Officer is assigned or through the dedicated assignment of a Contracting Officer. Where the size and complexity of programs in full missions (including Transition countries) warrant, a U.S. direct-hire CO will be assigned and the services of three FSN contract specialists, on average, will be acquired. Contract specialists would be assigned to support Agency goals and SOs as members of results package teams.

The assignment of a dedicated CO would be indicated where (1) the mission has three or more SOs and numerous procurement and assistance instruments; (2) FSN contract specialists require a high level of supervision; (3) there is a significant need for on-going procurement training; (4) the program is particularly vulnerable; and (5) contract administration requirements are intense.

In exceptional instances, such as Egypt, additional human resources, both USDH and FSN, will be required to provide adequate services.

3. LIMITED MISSIONS

On an exception basis, a U.S. direct-hire CO may be placed in a limited or transition mission for ease of mobility or where the complexity of the program requires the continuous presence of a CO. Each limited mission would be assigned an FSN contract specialist to support the implementation of Agency goals. It is anticipated that some services will be centrally procured through buy-ins to Global Bureau agreements.

4. EXIT PROGRAMS

Continuing programs in exit (non-presence) countries may be supported, on an ad hoc and occasional basis, from the nearest full or limited mission where a CO is assigned, as local circumstances warrant.

IV. TRANSITIONAL GUIDANCE

Regional bureaus, in consultation with M/OP and GC, should determine the most feasible placement of RLAs and COs with overseas responsibilities. This might include locating some staff in regional organizations.

OVERSEAS WORKFORCE RESTRUCTURING ANALYSIS

D. ADMINISTRATIVE MANAGEMENT

Administrative Management: Model Staffing Levels

USAID Presence	FULL w/ support to Limited	FULL	LTD: 2 Agency Goals, PL-480 & trust funds	LTD: 2 Agency Goals	LTD: 1 Agency Goal	Limited Humanitrn.	Transition
USDH	1-2	1	0-1	0	0	0	0-1
FSN	29-50	24-43	14-24	12-21	7-13	0-11	0-43
Non-DH US	0-2	0-2	0-1	0-1	0-1	0	0-2
TOTAL	30-54	25-46	14-26	12-22	7-14	0-11	0-46

Note: The table above assumes for all categories of staff an operating environment of "medium" difficulty (EXO staff ratio of 1:2) and is keyed to the summary report staffing table.

The administrative staffing of USAID missions should be determined in relation to both the overall size of the staff in-country and the difficulty of the operating environment. Administrative staffing, therefore, is based on two "levels" of difficulty in each staffing scenario and is directly derivative of the number of USAID staff that must be supported. Staffing ratios have been developed as a guide for determining the overall numbers of administrative staff, based upon historic staffing ratios in USAID geographic regions.

Operating environments and the corresponding requirements for administrative support vary significantly from post-to-post within regions, based upon the relative difficulty of the specific operating environment. Generally, in a difficult operating environment nearly all supplies and equipment (NXP and administrative supplies) must be acquired offshore and shipped to post, warehousing requirements are extensive, and local staff have limited training and relevant work experience. The private sector can provide only limited and often unreliable local services, and support from the Embassy is usually in high demand by all USG agencies at post, and supply, therefore, is often

problematic and expensive as a result.

In more "developed" operating environments supplies and equipment are frequently available locally, and warehousing facilities and services are required at a lesser level, local staff are well educated and experienced. Services are readily available locally, and Embassy support is reliable, available and usually of good quality.

I. **ASSUMPTIONS**:

o All organizational units which establish operations in cooperating countries fall under the authority of the U.S. Ambassador and must make adequate provision for the supply of administrative support services and the safety and security of mission personnel in adherence with local post policies, Agency regulations, uniform regulations, and applicable USG statutes.

o Consistent with Congressional intent in the establishment of a separate operating expense (OE) appropriation, all administrative staff, support services contracts and agreements, and related expenses that are not directly attributable to program activities will be funded from the OE account.

o USAID principal officers overseas will retain authority over the use of operating expense allocations and will determine how administrative support services will be acquired and from what source.

o Each organizational unit overseas will acquire support services from a melange of several sources, to include in-service staff, other USAID organizational units, other federal agencies, and private sector institutions (where commercial services are sought).

o Administrative support services will be acquired from the most capable source at the lowest practicable cost, as determined through cost comparisons and objective reviews of the capacities and capabilities of potential service providers.

o The International Cooperative Administrative Support System (ICASS) is established to allow USG agencies overseas a framework for purchasing and for providing services cooperatively, and it is to be utilized at each post to the maximum extent practicable and economical.

o Where USAID is a provider of services to other agencies under

ICASS arrangements, any additional resources (human or
material) required to ensure the delivery of such services
will be fully funded by the recipients through ICASS payment
mechanisms.

o   Exit (non-presence) missions will determine their
    administrative support requirements through the development
    of close-out plans; and a USDH Executive Officer may be
    required for the period of the close-out and would be treated
    as an exception to the normal staffing pattern for small
    missions.

o   Start-up missions will initially require additional resources
    to identify facilities and to establish routine support
    operations. This need may be temporary and may be provided
    through TDY support or, if continuing, may require the
    inclusion of a USDH Executive Officer as a part of the normal
    core staffing of small missions.

o   The relative capabilities and availabilities of educated and
    experienced foreign service national staff in a given country
    will be important factors in determining if overall support
    staffing levels are at the "high" or "low" ends of the
    indicative staffing ranges which are established for each
    category of USAID mission.

o   The adequacy of internal controls and the vulnerability of
    administrative support operations, as assessed by mission
    management, will be important factors in determining the size
    and composition of the EXO workforce in such areas as
    administrative procurement and property management.

II. <u>INDICATIVE STAFFING LEVELS</u>:

<u>FULL MISSIONS</u>

Large missions addressing three or more Agency goals may augment
internal staff capabilities by acquiring support services --
wherever feasible and economical -- from the private sector,
from neighboring USAID missions, and from other USG agencies
under ICASS. EXO staffing levels in full missions are normally
expected to fall within the following ranges:

1.   FULL MISSIONS WITH RESPONSIBILITY FOR SUPPORTING LIMITED
        MISSIONS

Where a mission has formal responsibility for providing EXO
support to a number of limited missions, administrative support
is provided to neighboring limited missions on a scheduled
basis, as required by the needs of each small mission and the

operating environment in their country:

A. In difficult operating environments where only minimal ICASS services are acquired and alternative commercial services are not available:

U.S. Direct Hire   --   1 - 2 Executive Officers[3]

Non-career U.S. --   0 - 2 USPSC or Limited Direct Hire
                          Appointment (local hire)

Non-U.S. staff   --   1 - 3 employees for every two non-
                          support USAID employees in the
                          mission   (1:3 - 1:.7)

B. In operating environments where ICASS support and commercial services are available and administrative support requirements are met through a combination of in-house, commercial, and ICASS services:

U.S. Direct Hire--   1 - 2 Executive Officers

Non-career U.S. --   0 - 2 USPSC or Limited Direct Hire
                          Appointment (local hire)

Non-U.S. staff   --   1 - 2 employees for every four
                          non-support USAID employees in the
                          mission[4]   (1:4 - 1:2)

2. FULL MISSIONS WITHOUT REGIONAL SUPPORT REQUIREMENTS

Full or transition missions where administrative support is not provided to limited missions.

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[3]The assignment of two Executive Officers normally will only be contemplated on an exception is and would normally be justified by the assumption of extensive regional responsibilities entaili port to a significant number of limited missions and exit program countries.

[4]In full missions where a majority of support services are provided by sources external to USAI inistrative staff are required to monitor the performance of service providers (contra rsight/ICASS liaison); to perform USAID-specific administrative work, such as ADP syste inistration and NMS support, C & R functions, evaluation and incentive awards programs, offi agement, and to provide a wide variety of direct support to limited missions and exit progr ntries.

A. Difficult operating environments where only minimal ICASS
    services are acquired; where a range of support services are
    not available commercially and are primarily provided by
    USAID employees:

    U.S. Direct Hire   --   1 Executive Officer

    Non-career U.S. --   0 - 2 USPSC or Limited Direct Hire
                               Appointment (local hire)

    Non-U.S. staff   --   1 - 3 employees for every two non-
                               support USAID employees in the
                               mission (1:3 - 1:.7)

B. Where most support services are met under ICASS arrangements
    and/or where required support is available from commercial
    sources:

    U.S. Direct Hire   --   1 Executive Officer

    Non-career U.S. --   0 - 1 USPSC or Limited Direct Hire
                               Appointment (local hire)

    Non-U.S. staff   --   1 - 2 employees for every four
                               non-support USAID employees in the
                               mission[5] (1:4 - 1:2)

LIMITED MISSIONS

Limited missions will normally have fewer staff and will
normally address up to two Agency goals. There are several
types of limited missions: complex (2 Agency goals; may have
trust funds and PL-480), limited (2 Agency goals), small
limited, (1 Agency goal), humanitarian and transition. These
small missions will typically have 1 - 5 USDH employees and are
normally expected to acquire the majority of support services
from the private sector, from neighboring USAID missions, and
from other USG agencies under ICASS.

Each limited mission will normally be associated with a full
mission, which will be expected to schedule and provide
professional, USAID-specific administrative support.

Except in those instances where it is apparent that adequate

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[5]In full missions where a majority of support services are provided by sources external to USAI
inistrative staff are required to monitor the performance of service providers (contra
rsight/ICASS liaison); to perform USAID-specific administrative work, such as ADP syste
inistration and NMS support, C & R functions, evaluation and incentive awards programs, offi
agement, etc.

support cannot be obtained from ICASS or from commercial services or the immediacy of support is dictated by a high profile transition program, it is anticipated that the core staff of limited missions will normally not include a USDH Executive Officer. A USDH Executive Officer will normally only be permanently assigned to a limited mission in the exceptional cases noted.

The Executive Officer of a full mission will assume responsibility for ensuring that the local arrangements for supporting limited missions are sufficient. A major component of limited mission support is the identification, recruitment and training of foreign service national staff and, where deemed necessary, non-career U.S. employees.

On an exception basis, a limited mission may assume regional support responsibilities, and an Executive Officer may be placed. Such an arrangement will be considered where regional factors prove it to be effective and efficient.

3. COMPLEX LIMITED MISSIONS WITH 2 AGENCY GOALS

A. In difficult operating environments where only minimal and required ICASS services are acquired; and where a range of commercial services are not available and are primarily provided by USAID employees.

    U.S. Direct Hire   --   0 - 1 Executive Officers[6]

    Non-career U.S. --   0 - 2 USPSC or Limited Direct Hire
                                  Appointment (local hire)

    Non-U.S. staff   --   1 - 3 employees for every two non-
                                    support USAID employees in the
                                    mission (1:2 - 1:.7)

B. Where most support services requirements are met under ICASS arrangements and commercial services are available.

    U.S. Direct Hire   --   0 Executive Officer

    Non-career U.S. --   0 - 1 USPSC or Limited Direct Hire
                                    Appointment (local hire)

    Non-U.S. staff   --   1 - 2 employees for every four
                                    non-support USAID employees in the

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[6]Normally, the assignment of an Executive Officer to a limited mission will only be contemplated exceptional basis and would be justified by very difficult local conditions, a lack of qualified a erienced foreign service national staff, and complex high profile transition programs.

<div align="center">mission[7] (1:4 - 1:2)</div>

4. LIMITED MISSIONS WITH 2 AGENCY GOALS

A. In difficult operating environments where only minimal and required ICASS services are acquired; and where a range of commercial services are not available and are primarily provided by USAID employees.

U.S. Direct Hire   --   0 Executive Officers

Non-career U.S. --   0 - 1 USPSC or Limited Direct Hire Appointment (local hire)

Non-U.S. staff   --   1 - 3 employees for every two non-support USAID employees in the mission (1:2 - 1:.7)

B. Where most support services requirements are met under ICASS arrangements and commercial services are available.

U.S. Direct Hire   --   0 Executive Officer

Non-career U.S. --   0 - 1 USPSC or Limited Direct Hire Appointment (local hire)

Non-U.S. staff   --   1 - 2 employees for every four non-support USAID employees in the mission (1:4 - 1:2)

5. LIMITED MISSIONS WITH 1 AGENCY GOAL

A. In difficult operating environments where only minimal and required ICASS services are acquired; and where a range of commercial services are not available and are primarily provided by USAID employees.

U.S. Direct Hire   --   0 Executive Officers

Non-career U.S. --   0 - 1 USPSC or Limited Direct Hire Appointment (local hire)

Non-U.S. staff   --   1 - 3 employees for every two non-support USAID employees in the

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[7]Administrative staffing in limited missions where a majority of support services are provided rces external to USAID are required, among other things, to monitor the cost and performance of t vice providers (contract oversight/ICASS liaison) and to perform USAID-specific administrative wor h as ADP systems administration and NMS support, C & R functions, evaluation and incentive awa grams, office management, etc.

mission (1:2 - 1:.7)

B. Where most support services requirements are met under ICASS
    arrangements and commercial services are available.

    U.S. Direct Hire   --   0 Executive Officer

    Non-career U.S. --   0 - 1 USPSC or Limited Direct Hire
                                 Appointment (local hire)

    Non-U.S. staff   --   1 - 2 employees for every four
                                 non-support USAID employees in the
                                 mission (1:4 - 1:2)

6. LIMITED HUMANITARIAN MISSIONS

When conditions dictate that USAID humanitarian program efforts
require an in-country presence, some EXO support may have to be
provided by USAID employees. Assuming that long-term
humanitarian relief efforts will take place in difficult
operating environments where only minimal ICASS services are
available, if any, and where commercial services are not
available.

    U.S. Direct Hire   --   0 Executive Officers

    Non-career U.S. --   0 - 1 USPSC or Limited Direct Hire
                                 Appointment (local hire)

    Non-U.S. staff   --   1 - 3 employees for every two non-
                                 support USAID employees in the
                                 mission (1:2 - 1:.7)

7. TRANSITION MISSIONS

The need for administrative management staff in a transition
country will be determined on a case-by-case basis, taking into
consideration the relative difficulty of the operating
environment and the overall size and complexity of the USAID
mission.

    U.S. Direct Hire   --   0 - 1 Executive Officers

    Non-career U.S. --   0 - 2 USPSC or Limited Direct Hire
                                 Appointment (local hire)

    Non-U.S. staff   --   0 - 3 employees for every two non-
                                 support USAID employees in the
                                 mission

8. EXIT PROGRAMS

In Exit (non-presence) countries where USAID will have
continuing programs, it is not anticipated that traditional EXO
support services will be required or will be appropriate, as the
Agency acquires program implementation services from NGOs, in
part, to relieve itself of administrative burdens.

However, USAID may extend to program implementors and
intermediaries very limited support in the form of official
liaison with cooperating country officials and American Embassy
administrative staff. The purpose of such contacts with
cooperating country officials would be to ensure that program
implementors receive the privileges and entitlements allowed
them under bilateral agreements. Embassy contacts would be
maintained
to ensure that the program implementors have access to whatever
information and limited services are appropriate, per agreements
with Embassy personnel.

It is anticipated that Executive Officers in neighboring full
missions would visit exit program countries on an intermittent
and occasional basis, as circumstances require.

III. TRANSITIONAL GUIDANCE:

o   All principal officers overseas are expected to direct their
     staff to enter into negotiations, as soon as practicable,
     with the post ICASS Board with the intent of acquiring all
     the administrative support from that source that can be
     economically and efficiently obtained.

o   M/AS/OMS, in collaboration with the Regional Bureaus, will
     determine the number of limited missions and exit program
     missions that will be supported by Executive Officers in full
     missions or regional services missions; it is expected that
     an Executive Officer in a full mission will normally provide
     support to no more than two limited missions or exit program
     missions.

o   In these cases, full missions or regional support missions
     will supply continuing administrative support services,
     oversight, and training to local staff.

o   Executive Officers overseas are expected to conduct rigorous
     cost and performance comparisons to formally determine the
     most economical and efficient source for support services;
     the cost of utilizing in-service USAID staff and resources
     must be compared with ICASS arrangements, neighboring USAID
     missions, and commercial sources.

o   Limited Missions are expected to identify and recruit capable
    foreign service nationals and locally-recruited non-career
    U.S. citizen employees to undergo administrative training
    that will allow the limited mission to provide and/or procure
    essential administrative services. Services will be
    maintained with the assistance of Executive Officers from
    full or regional support missions.

E. TECHNICAL SUPPORT

Technical Specialists: Model Staffing Levels

USAID Presence	FULL w/ support to Limited	FULL	LTD: 2 Agency Goals, PL-480 & trust funds	LTD: 2 Agency Goals	LTD: 1 Agency Goal	Limited Humanitrn.	Transition
USDH	3-10	3-10	2-4	2-4	1-2	1-2	1-10
FSN	9-25	9-25	6-12	6-12	3-6	2-4	2-25
Non-DH US	3-5	3-5	2-3	2-3	1-2	0-4	1-10
TOTAL	15-40	15-40	10-19	10-19	5-10	3-10	4-45

Note: Technical Specialists normally will be assigned on the basis of 1-2 USDH per Agency goal for full and limited missions.

Technical, as defined for the purposes of this study, includes economists, no matter what position they hold in a mission.

In addition to how the general assumptions affect assignment of technical officers, there are variable factors that will also influence the number of technical officers assigned. These factors include:

- The number, complexity, size and maturity of the SOs.

- The political urgency of the program.

- The physical remoteness of the country.

- Technical capacity resident in the host country, including that of the FSN staff, partners and counterparts.

- The nature of relations with the host country government, the Embassy, and the involvement of partners.

- The sectors involved and the ability of virtual teams to support mission operations in those sectors, and

-     Whether a Full Mission provides technical support to
                          another.

I.   ASSUMPTIONS

o   The expanded use of performance-based contracting will
     require strong technical expertise on SO teams.

o   Many FSOs have gained on-the-job training in the management
     of technical programs and activities and they provide a
     valuable development asset to the Agency.

o   At least one technical officer, normally USDH, should be a
     core member of each Mission SO team.

o   The level of FSN and PSC technical staff at post will
     continue to vary as much as under the present overseas
     structure.

o   Increased teamwork in support of the technical needs of an SO
     are crucial. In-country technical staff lead and direct the
     process relying on technical support staff (usually SO
     virtual team members) to do the more routine actions that can
     be done away from post or on TDY.

o   Highly specialized technical support normally would not be
     stationed in-country. This kind of technical support refers
     to that required in highly specialized fields, e.g., nuclear
     physics, that would be required not for the day-to-day
     management or oversight of technical activities in the field,
     but on an as-needed basis. There is general recognition that
     highly specialized direct-hire technical skills would be best
     located in the Global Bureau and thus available to provide
     technical support on a worldwide basis.

o   Technical specialists will increasingly be required to apply
     and adapt their skills to food aid programs (both emergency
     and development), other humanitarian aid activities and
     transition assistance programs.

o   The Agency should place its best technical officers with
     strong technical and development skills in the limited
     Mission since these officers will have fewer technical staff
     in the mission to consult.

o   Teamwork, and increased dependence on technical skills
     outside of the operating unit, is an integral component of
     all operations.

II.   INDICATIVE STAFFING LEVELS

FULL MISSIONS

Directors and SO teams need to have the flexibility to maximize resources and obtain the needed skills to manage for results.

For combined, non-USDH figures below, a 3:1 ratio non-USDH to USDH was used.

Such missions will need to maintain or increase their technical outreach (improved customer service) to host country governments and partners in planning, achieving and judging. Reengineering is streamlining the management and administrative processes to ensure Mission time and efforts focus on our ultimate customers. The following is based on the assumption that full missions will normally have programs in three or more Agency goal areas.

     U.S. Direct Hire--   3 - 10 Technical Officers

     Non-career U.S.   --   3 - 5 USPSC, Fellow, PASA, etc.

     Non-U.S. Staff   --   9 - 25 Foreign Nationals

LIMITED MISSIONS

In limited missions, options for in-country technical support are less numerous. Given the need for a combination of technical and development experience, the assignment of strong technical officers to limited posts should be a USAID high priority. This is based on the assumption that limited missions normally will have programs in no more than two Agency goal areas. For combined non-USDH figures below, a 3:1 ratio non-USDH to USDH was used.

1. COMPLEX LIMITED MISSIONS WITH 2 AGENCY GOALS

Such missions will need the strongest technical USDH to lead teams and best use virtual team members; working in 2 Agency goal areas and having trust funds and PL 480:

     U.S. Direct Hire--   2 - 4 Technical Officers

     Non-career U.S.   --   2 - 3 USPSC, Fellow, PASA, etc.

     Non-U.S. Staff   --   6 - 12 Foreign Nationals

2. LIMITED MISSIONS WITH 2 AGENCY GOALS

The need for strong technical USDH is still required as will be increased use of virtual teams.

```
U.S. Direct Hire--   2 - 4 Technical Officers

Non-career U.S.      --   2 - 3 USPSC, Fellow, PASA, etc.

Non-U.S. Staff       --   6 - 12 Foreign Nationals
```

3. LIMITED MISSION WITH 1 AGENCY GOAL

```
U.S. Direct Hire--   1 - 2 Technical Officers

Non-career U.S.      --   1 - 2 USPSC, Fellow, PASA, etc.

Non-U.S. Staff       --   3 - 6 Foreign Nationals
```

4. LIMITED HUMANITARIAN MISSIONS

This report recommends, where local conditions dictate that
continuing, long-term interventions must be initiated, USDH
employee(s) normally should be assigned to represent the Agency
and to provide direct oversight over USAID-funded activities and
resources. Such limited mission scenarios are not to be
confused with immediate disaster relief activities where the
long-term assignment of staff is normally not required.

The source of the technical staff to be assigned to limited
humanitarian missions will depend on program needs and staff
availability.

Note that circumstances may arise in limited humanitarian
missions which require that USAID staff -- to include USDH,
foreign service nationals and non-career U.S. -- must be
stationed in a neighboring country.

The staffing ranges for limited humanitarian missions are
established as follows:

```
U.S. Direct Hire--   1 - 2 Technical Officers

Non-career U.S.      --   0 - 4 USPSC, Fellow, PASA, etc.

Non-U.S. Staff       --   2 - 4 Foreign Nationals
```

5. TRANSITION COUNTRIES

Transition country programs may be categorized as full, limited
or exit. The technical staffing levels in transition missions
will be determined by the number and complexity of the
activities to be managed. Sufficient technical capacity will be
needed to oversee and monitor activities and to ensure that the
technical quality of the work being performed by PVOs and

contractors is adequate and that the objectives and accountability requirements are met. The numbers of U.S. non-direct-hire personnel in Transition countries may exceed the normal levels prescribed for full and limited missions.

6. EXIT PROGRAMS

In exit countries, the nature of in-country assistance will determine what kind of implementing organization will be necessary to carry out USAID's continuing programs. The programs will be implemented through local NGOs, relatively autonomous field offices of PVOs, or contractors, and the programs normally should not require on the ground USAID support and management. As specific circumstances warrant, occasional and ad hoc support may be provided by technical officers at a nearby mission or regional office. In most cases it is assumed the implementing entity is centralized and headquartered in the U.S., and technical support will be provided in Washington. In the case of food aid, logistics are key to the success of these activities and PVO headquarters will be involved in the process to a large extent. Thus, FFP programs are normally best handled by FFP/Washington.

III.   TRANSITIONAL GUIDANCE

A number of specific actions should be undertaken to facilitate Agency transition to full, limited and transition missions, and exit countries. The experience from the last close-out exercise offers a model and set of lessons learned that are a good guide. Listed below are some key points to emphasize.

1.   Missions/regional bureaus will need to revisit country strategic plans at reduced levels of program and OE funding allocations to determine appropriate staffing levels and skill requirements.

2.   Exit countries will need to identify and put in place the appropriate mechanism(s) under which to carry out continuing programs with no USAID presence.

3.   A rigorous review of the financial and program benefits and costs of providing technical support from outside the country should be undertaken.

4.   Training will be required for certain existing staff to adjust to the changing technical needs. Training of staff to do FFP work is a need, given the increasing importance of food aid to our program efforts. The is training of our technical staff to better understand technical assistance in transition countries and complex emergencies is also a priority.

A.   Variables

To make appropriate decisions that will result in effective provision of technical support to programs in-country, actual mission size will depend on a number of factors including the variables below that may determine the best and most cost effective deployment of personnel in each size of mission.

For technical services, the principal question is how much authority for program implementation can be devolved to proxy organizations. The more this responsibility can be handled locally, the less the requirement for USDH technical presence.

There are three determinants for optimal technical presence in a given mission: political, logistical and sectoral. Each is discussed below.

1.   Political

Political determinants include the importance of a given post to U.S. foreign policy; the political urgency of the program (Bosnia and the NIS are examples of such quickly-developed programs). Typically, technical expertise is needed urgently following disasters or when a new program is starting. Procuring such expertise quickly outside the agency is often difficult.

2.   Logistical

Logistical considerations are most important in determining the cost effectiveness of, and need for, USDH presence. These include:

"   *Geographical considerations* -- the physical remoteness of the country and the cost of living; health and medical considerations.

"   *Technical capacity resident in the host country*. If engineering or consulting services are easily available in a given country, there is less need for US technical presence.

Other considerations include:

"   Capacity of FSN staff

"   The nature of relations with the host country government

"   The involvement of partners

3.   Sectoral

The ability of virtual teams to support mission operations
varies by sector. Where much day-to-day program coordination
and policy dialogue is required, USDH presence is indispensable.
 The degree to which USAID may run its programs through third
parties also depends upon factors such as program maturity, host
country capacity, and other sectoral concerns:

"   *Democracy, AOJ and governance programs* typically require much
       day-to-day presence and oversight. *Economic Growth and
       environment* programs vary enormously, depending upon the
       country. Many *family planning, health and child survival*
       programs involve extensive coordination with partners, a
       labor-intensive requirement, particularly in new programs.
       Human capacity development typically requires much policy
       dialogue throughout the life of the program. *Food aid
       programs* can be run with resident USDH oversight or through
       NGOs. *CIPs, Cash Transfers and Title III* require much
       negotiation up-front, and perhaps less as the programs mature
       and local capacity is developed. PVO programs may involve
       significant USDH oversight, unless (as in a non-presence
       country) a third party US organization oversees a program of
       local NGO subgrants.

"   Research programs generally require more technical
       sophistication on the part of the USAID manager.

Also important is the maturity of programs: a start-up program
may need more program officers, social scientists or economists;
 a more mature or closeout program may need technical and
administrative support. The nature of relations with the host
country government, with other partners and with ministry
technical personnel must also be considered.

We assume that USAID's strength is our in-country presence, and
that the Agency wishes to continue to apply the core values of
reengineering to guide our decision making. If this is the
case, it follows that the most effective way to administer a
given program emphasizes USDH involvement. The Agency should
therefore seek to provide as many on-the-ground activity
managers for a given program as possible, within the limits
imposed by the budget.

B.   New Management Systems

Decisions on the field/Washington split in job functions will
depend in large measure on how quickly the NMS becomes fully
operational both in the field and in Washington and the real
impact of NMS on operations.

With regard to small (non-UNIX) sites, it is not clear what
effect the NMS will have on mission operations. For the long-
term, M/IRM is developing direct, electronic NMS linkages for
small transition and limited missions. The NMS team also has
developed a short-term solution for non-NMS sites, based on
remote data entry. Needs at individual posts will, or have
been, identified and macros are being developed to meet some of
these needs. Small sites will send information and data to NMS

sites via E-mail, where data entry will occur. This will have
some workload implications at NMS sites. It is planned to test
these macros in June, for an October 1996 delivery.

Most overseas missions will be of "limited" size or smaller, but
the bulk of USAID employees are based in full missions.
Excluding institutional contractors, 83% of overseas on-board
personnel are based at NMS sites. In some countries, contract
officers and accounting stations are in different places. The
legal and contract working groups have addressed this problem in
another section of this report.

In the long run, it may be possible to develop VSAT-based
executables for electronic hook-up to Washington to interact
directly with the core database of the NMS.

With regard to the NMS, we assume that:

"   the new management systems will not require additional staff
     beyond that required by MACS and current systems (aside from
     the systems administration staff);

"   the NMS will be sufficiently functional to permit budgeting,
     accounting, operations, and procurement to proceed;

"   the Agency can implement a significantly enhanced
     telecommunications system for non-NMS sites in a time frame
     compatible with the scheduled restructuring of missions;

"   in limited missions, contract and AWACS support will not be
     provided solely through the NMS; and

"   temporary technical support can continue to be acquired by
     the field for substantial periods to supplement the assigned
     staff, on a case-by-case basis, as required.

F. PROGRAM MANAGEMENT

Program Management: Model Staffing Levels

USAID Presence	FULL w/ support to Limited	FULL	LTD: 2 Agency Goals, PL-480 & trust funds	LTD: 2 Agency Goals	LTD: 1 Agency Goal	Limited Humanitrn.	Transition
USDH	2-4	2-3	1-2	1-2	0-1	1-2	0-4
FSN	2-5	2-5	2-3	2-3	1-2	1-2	0-5
Non-DH US	0-1	0-1	0-1	0-1	0-1	0-1	0-3
TOTAL	4-10	4-9	3-6	3-6	1-4	2-5	0-12

Note: The Principal USAID Officer in long-term humanitarian relief missions may, on a case-by-case basis, be designated SMG.

I FULL MISSION

1. ASSUMPTIONS

A. Congressional Presentation prepared in Washington, with data supplied by the mission.

B. Congressional Notifications prepared in Washington.

C. Strategic Plan prepared by the mission with virtual and on-the-ground assistance of USAID/W staff.

D. Travel funds available to permit USAID/W assistance with strategic planning and the work of strategic objective teams. It is important to the sound management of Agency business that USAID/W staff have opportunities to travel to missions and provide on-site support to field operations.

E. Program/PDO Officers assist in program development and implementation, and do not view themselves simply as guardians of regulations and procedures.

F. Project Development Officers (after training) will have additional procurement-related knowledge and skills.

G. Full missions will be the principal training ground for IDIs and other new hires in their first overseas assignment. IDIs will continue to carry their own FTE ceiling.

H. Program economists, while considered technical personnel, where appropriate, may be assigned as program officers.

2. VARIABLES

The following variables could impact the prescribed
   levels and categories of program/project development
      officers:

- Program complexity

- Qualifications of non-USDH staff

- Responsibilities for providing regional support to
   other missions

- Size of pipeline

- Responsibilities for managing regional or exit
programs

- Host country institutional capabilities

- Political sensitivities requiring USDH staff

- Nature of the procurement instrument, i.e., its
   relative labor-intensity

- Time required to travel to program sites

3. INDICATIVE STAFFING LEVELS

Direct Hire Staff

- 1 program officer to handle matters concerning strategic planning, results monitoring and results reviews, overall program budgeting and local currency budgeting, and coordinating responses to Embassy and Washington.

- 1/2 project development officer per strategic objective (on average, normally with a limit of 2 per mission unless special circumstances require more, such as providing support to a limited mission or exit program) to handle matters concerning activity planning and implementation, activity budgeting, procurement actions and activity level financial management business. Work should be performed through the

respective strategic objective teams, with the officer
performing this management function on the team.

Non-USDH Staff

- 2 professional FSNs to assist primarily with the
functions of program budgeting (including pipeline management),
responding to Washington, and outreach with partners/customers,
particularly in areas which span individual strategic
objectives.

- 1/2 FSN per SO (on average, normally with a limit of
3) to assist the project development officer and to allow
coverage of the program management function on all SO teams and
on RP teams as necessary.

- USPSCs: May be necessary to fulfill specific support
needs on the program management side; e.g., for performance
monitoring.

II LIMITED MISSION

1. ASSUMPTIONS

o   All assumptions for full missions apply.

o   There is a bedrock of Agency functions typically carried out
     by Program and Project Development Officers, which could, in
     some instances, be performed by other officers.

o   A Mission Director will be necessary but may have to perform
     other program or technical functions.

o   The role, operation and composition of teams changes in
     limited missions, with virtual team members playing a more
     significant role.

o   Full R4s required.

o   Less strategic planning required, since focus normally is on
     one or two sectors.

o   The universal functions of PDOs and POs would be carried out.

2. INDICATIVE STAFFING LEVELS

a. Limited Mission with 2 Agency Goals, PL 480 & Trust Funds

Direct Hire Staff

- 1 Program Officer, primarily responsible for strategic planning, budgeting and responding to Embassy and Washington requests.

- 0-1 Project Development Officer, primarily responsible for activity planning, implementation, and monitoring.

Non-USDH Hire Staff

- 1 FSN Program Officer, primarily responsible for assisting with program budgeting, pipeline management, and outreach to partners/customers in carrying out the planning and implementation functions.

- 1 FSN Project Development Officer for each SO, primarily responsible for assisting the SO team in planning and implementing activities for results.

- USPSCs: Where additional program support staff is required, look to locally recruited spouses and other available human resources.

b. Limited Mission with 2 Agency Goals

Direct Hire and Non-USDH staff levels would be the same as those indicated above for a Limited Mission with 2 Agency Goals, PL 480 and Trust Funds. The variables indicated above, particularly program complexity, would impact the program management staffing levels.

c. Limited Mission with 1 Agency Goal

Direct Hire and Non-USDH staff levels normally would be reduced in this circumstance. While inherently USG functions will normally require at least one USDH Program Officer or Project Development Officer in most limited missions, it is possible that in a small post with one Agency goal, an exception could be possible, with the program/project development functions assumed by other direct hire and/or non-direct hire staff.

Direct Hire Staff

- 0-1 Program Officer, or

- 0-1 Project Development Officer

Non-USDH Staff

- 1 FSN Program Officer

- 1 FSN Project Development Officer

- USPSCs, where additional support staff required

III LIMITED HUMANITARIAN MISSIONS

1. ASSUMPTIONS

o   All limited mission assumptions apply.

o   Crises of a natural or manmade origin define the type of program required.

o   Planning horizons tend to be shorter term; high degree of crisis response, relief, and rehabilitation themes in programming.

o   Availability of quality local staff may vary but on average will be less than in other countries.

o   Results reporting and PVO and other partner relations represent heavy workload.

o   More likely to work with NGO intermediaries, have higher levels of food aid and OFDA assistance requiring higher proportion of inherently USG functions within overall Mission workload.

o   Strategic planning function carried out by Country Desk and BHR in consultation with Country Team, customers and partners.

o   OFDA and FFP emergency staff in USAID/W will manage IDA and food aid resources with DART or other technical staff assigned to the field by OFDA and FFP.

2. INDICATIVE STAFFING LEVELS

Direct Hire Staff

- 1 Program Officer, primarily responsible for evaluation, budgeting and responding to Embassy and Washington.

- 0-1 Project Development Officer, primarily responsible for activity planning, implementation, monitoring and procurement.

Non USDH Staff

- 1-2 FSNs to assist with the program management
functions.

        - USPSCs: Where additional support staff required.

IV NON-PRESENCE PROGRAM

1. ASSUMPTIONS

o   Normally, an operating unit outside the host country will
    manage continuing programs in non-presence countries. In
    determining the most appropriate location for support to
    continuing programs in exit countries, Bureaus are expected
    to support their decision with a cost-benefit analysis.

o   Residual program activities in exit, close-out countries
    normally will be managed by a nearby mission, the desk or
    other Washington-based operating unit.

o   A strategic plan, prepared by the operating unit, will guide
    programming and related resource decisions. Such a plan
    could be prepared by a mission prior to exit.

o   To the maximum extent possible, USAID staff normally are not
    to be stationed in the host country.

2. INDICATIVE STAFFING IMPLICATIONS

Direct Hire Staffing

        - 0 Program and Project Development Officers

Non-USDH Staffing

        - The use of a FSNPSC may be considered on an
exception basis in extreme circumstances where the complexity of
the program, weak host country institutions and other
vulnerabilities argue for a limited degree of in-country
oversight to ensure proper accountability of USAID resources.

V. TRANSITION PROGRAMS

1. ASSUMPTIONS

o   Transition programs may be carried out in full, limited or
    exit countries. The need for program management staff in
    transition countries will be determined, on a case-by-case

basis, taking into consideration the number and complexity of activities being undertaken.

o   USAID/Washington may play a larger role in program planning for transition missions than is the case in non-transition countries (including regional bureaus, BHR/OTI, BHR/OFDA and BHR/FFP.)

o   Activities undertaken in transition countries may not necessarily be tied to any one Agency goal or objective and may be more reflective of "targets of opportunity". Program strategies are expected to cover shorter term objectives.

2.   INDICATIVE STAFFING IMPLICATIONS

Direct Hire Staffing

   - 0-4 Program and Project Development Officers

Non-USDH Staffing

   - A combination of both FSN and PSC staff as appropriate to the needs; see model ranges for full and limited programs for this category.

VI.   TRANSITIONAL GUIDANCE

A.   Cable guidance has already been drafted and will soon be forwarded to missions targeted for transition to limited or exit status.

B.   M/HR should consider replacing backstop codes with a skills bank and staff individual positions in accordance with specific skills needed for the position. At a minimum, this is recommended for program and project development officers.

G. SECRETARIAL AND CLERICAL STAFFING

Secretarial & Clerical: Model Staffing Levels

USAID Presence	FULL w/ support to Limited	FULL	LTD: 2 Agency Goals, PL-480 & trust funds	LTD: 2 Agency Goals	LTD: 1 Agency Goal	Limited Humanitrn.	Transition
USDH	0	0	0	0	0	0	0
FSN	16-20	14-18	8-12	6-10	4-6	0-4	0-18
Non-DH US	0-2	0-2	0-1	0-1	0-1	0	0-1
TOTAL	16-22	14-20	8-13	6-11	4-7	0-4	0-19

Given that the administrative staffing of USAID missions should be determined by both the overall size of the USAID staff and the difficulty of the operating environment, secretarial and clerical staffing levels must be set to ensure that effective support is provided within these parameters. Each staffing scenario is based upon the likely numbers of offices in each organizational unit.

It is stressed that non-direct hire staffing numbers in this occupational category are indicative and should be used as general guidance in establishing actual requirements for secretarial and clerical support.

I. ASSUMPTIONS:

o   The assignment of USDH secretaries overseas is normally not contemplated.

o   The handling and storage of classified and sensitive but unclassified (SBU) materials will normally be accomplished through the local recruitment of non-career U.S. citizen personnel who are eligible to receive a security clearance; the hiring of spouses of USDH employees through post dependent employment programs is the most common method of acquiring secretarial staff qualified to handle controlled

materials.

o   The maximum number of secretarial employees required by
    organizational units is determined by the number of separate
    offices established; two secretaries per office is normally
    considered the maximum necessary to ensure the maintenance of
    office operations and procedures.

o   The maximum number of clerical employees required by
    organizational units is set by the number of separate
    activities undertaken; one clerical employee per programmatic
    or administrative activity is normally considered the maximum
    necessary to support routine operations.

o   Small offices within organizational units will normally
    receive both secretarial and clerical support, where
    appropriate and efficient, through shared or "pooled" support
    arrangements; regional legal advisors and regional
    contracting officers, for example, may maintain separate
    offices in a full mission, but they may share secretarial
    support due to the limited size of one or both offices.

o   Temporary organizational units, such as teams in missions
    where traditional office structures are maintained, will
    normally not establish separate secretarial and clerical
    positions but will be supported by the existing support staff
    of traditional offices.

o   The relative capabilities and availabilities of educated and
    experienced foreign service national staff in a given country
    will be important factors in determining if overall support
    staffing levels are at the "high" or "low" ends of the
    indicative staffing ranges which are established for each
    category of USAID mission.

II. **INDICATIVE STAFFING LEVELS**:

FULL MISSIONS

1. FULL MISSIONS WITH RESPONSIBILITY FOR SUPPORTING LIMITED MISSIONS

Where a mission has formal responsibility for providing support
to a number of neighboring small missions; large missions
addressing three or more Agency goals are normally expected to
establish 16 to 20 administrative support positions in the
secretarial and clerical area.

Normally not more than two locally recruited non-career U.S.
secretarial employees are anticipated. Other established
positions are expected to be filled by foreign service

nationals.

2. FULL MISSIONS WITHOUT REGIONAL SUPPORT REQUIREMENTS

Full missions where administrative support is not provided to neighboring limited missions are normally expected to establish 14 to 18 administrative support positions in the secretarial and clerical area.

Normally not more than two locally recruited non-career U.S. secretarial employees are anticipated. Other established positions are expected to be filled by foreign service nationals.

LIMITED MISSIONS

3. COMPLEX LIMITED MISSIONS WITH 2 AGENCY GOALS

Limited missions with relatively large and complex programs are normally expected to establish 8 to 12 administrative support positions in the secretarial and clerical area.

Normally not more than one locally recruited non-career U.S. secretarial employee is anticipated.

4. LIMITED MISSIONS WITH 2 AGENCY GOALS

Limited missions working in two Agency goal areas are normally expected to establish 6 to 10 administrative support positions in the secretarial and clerical area, depending on the relative number and complexity of the SOs in each goal area.

Normally not more than one locally recruited non-career U.S. secretarial employee is anticipated.

5. LIMITED MISSIONS WITH 1 AGENCY GOAL

Limited missions working in one Agency goal area are normally expected to establish 4 to 6 administrative support positions in the secretarial and clerical area, depending on the relative number and complexity of the SOs in the goal area.

Normally not more than one locally recruited non-career U.S. secretarial employee is anticipated.

6. HUMANITARIAN MISSIONS

When conditions dictate that USAID programming efforts require an in-country presence, some support may have to be provided by USAID direct-hire employees. Normally it is assumed that

secretarial and clerical staff may be required to support up to three USDH employees; secretarial and clerical staffing require-ments are normally not expected to exceed 4 foreign service national employees. Normally the presence of a locally-recruited non-career U.S. secretarial employee would not be expected.

7. TRANSITION MISSIONS

Transition program missions will normally conform to the guidance for support staff prescribed for full, limited and exit countries as appropriate.

OVERSEAS WORKFORCE RESTRUCTURING ANALYSIS

PART III

SUMMARY

A.   Summary Staffing Table

B.   Impact of Overseas Staffing on Washington

OVERSEAS WORKFORCE RESTRUCTURING

A. Summary Staffing Table

Function		FULL with support to Limited	FULL	LTD: 2 Agency Goals, PL-480 & Trust Funds	LTD: 2 Agency Goals	LTD: 1 Agency Goal	Limited humanitarian	Transition
Senior Mgt. (1)	USDH	2	1-2	1	1	1	0	0-2
	FSN							
	Non-DH US							
Financial Mgt.	USDH	2-3	1	0-1	0	0	0	0-1
	FSN	16-19	9-11	5-6	3-4	3	0-3	0-11
	Non-DH US							
Contracting	USDH	0-2	0-1	0	0	0	0	0-1
	FSN	3	3	1	1	1	0-1	0-3
	Non-DH US							
Reg'l Legal Advisors (2)	USDH	0-1	0-1	0	0	0	0	0
	FSN							
	Non-DH US							
Admin. Mgt. (3)	USDH	1-2	1	0-1	0	0	0	0-1
	FSN	29-50	24-43	14-24	12-21	7-13	0-11	0-43
	Non-DH US	0-2	0-2	0-1	0-1	0-1	0-1	0-2
Technical Officers (4)	USDH	3-10	3-10	2-4	2-4	1-2	1-2	1-10
	FSN	9-25	9-25	6-12	6-12	3-6	2-4	2-25
	Non-DH US	3-5	3-5	2-3	2-3	1-2	0-4	1-10
Program Mgt.	USDH	2-4	2-3	1-2	1-2	0-1	1-2	0-4
	FSN	2-5	2-5	2-3	2-3	1-2	1-2	0-5
	Non-DH US	0-1	0-1	0-1	0-1	0-1	0-1	0-3
Secrtr'l & Clerical	USDH	0	0	0	0	0	0	0
	FSN	16-20	14-18	8-12	6-10	4-6	0-4	0-18
	Non-DH US	0-2	0-2	0-1	0-1	0-1	0	0-1
TOTAL	USDH	10-24	8-19	4-9	4-7	2-4	2-4	1-19
	FSN	75-122	61-105	36-58	30-51	19-31	6-25	2-105
	Non-DH US	3-10	3-10	2-6	2-6	1-5	1-6	1-16

(1)   The principal USAID officer in long-term humanitarian relief missions may be designated as SMG, but all staff are attributed above to their primary position, either technical or program.

(2)   A Regional Legal Advisor will normally provide support to one full mission and two limited missions or to two full missions, as geographic placements dictate.

(3)   Operating environment is of "medium" difficulty and some support is acquired from ICASS and/or from commercial sources; each administrative management staff member supports, on average, two other employees for a 1:2 staffing ratio.

(4)   Technical Specialists are normally assigned on the basis of 1-2 USDH per Agency goal,

dependent upon the complexity of the SOs and the number of activities they contain.

B.   IMPACT OF OVERSEAS STAFFING ON WASHINGTON

1.   TECHNICAL SPECIALISTS

Washington, as well as existing regional offices will provide virtual team members as a main source of technical support. Reengineered USAID operations are based on a higher priority for teamwork and introduce the concept of virtual teams led by line staff. Overseas Missions and USAID/W operations, to some extent, are changing to use teams as the key in operation management. Some Missions are changing structures to manage for results around strategic objective teams, but all are required to use SOs as the organizing concept within which they carry out their work. The practice of virtual teams remains in the early stages of development but already shows promise in use between missions and the Global Bureau for providing supplementary specialized technical support. Both the Full and Limited Mission programs are expected to have a greater need for technical support from Washington.

Where possible, much more operational work should be done in Washington where the overhead costs of keeping technical officers is generally lower. Regionally based staff may be best positioned to complete some tasks that require frequent in-country work, but costs of regional missions may well be prohibitive. In-country officers will be the leaders and catalysts for technical work completed for the missions by Washington or by regional staff. Tasks which can be accomplished away from post include, but may not be limited to:

"   preparation of scopes of work,

"   compiling and assisting in result reviews for the R4,

"   commodity specifications,

"   performing special studies,

"   preparation of technical sections of program documents, and

providing leadership of evaluations or Intermediate Results reviews.

There will continue to be many situations when TDY technical support services are required. These situations include periods in which new strategic objectives or major modifications to existing strategic objectives are contemplated.

A principal aim associated with the establishment of the Global Bureau was that it would create Centers of technical excellence within the Agency and in most respects meet the technical support needs of field missions. This model has worked well in

sectors with a long history of interdependence with a central
technical bureau and is beginning to take shape in those sectors
relatively new to this arena.

EMERGENCY PROGRAMS

The technical and specialized skills needed for <u>emergencies</u> will
be provided primarily from the Bureau for Humanitarian Response
(BHR), supported by field staff and Regional Bureau headquarters
staff and Global Bureau technical officers.

Emergencies will be handled by BHR/OFDA and BHR/FFP following
the operations and practices that the offices now have in place.
 In-country presence, usually in the form of a Disaster
Assistance Response Team (DART), is handle by OFDA USDH and
contract staff along with food aid assistance. The extent to
which there can be more USDH rather than contract technical
staff is a function of OFDA/FFP staffing levels and improved
skills of our technical staff in relief work.

2. PROGRAM MANAGEMENT OFFICERS

A. Congressional Presentation preparation in Washington will
likely fall to the Geographic Offices, with data inputs from the
mission.

B. Congressional Notification preparation will be the
responsibility of the geographic offices.

C. Assistance in preparing Strategic Plans will be provided by
both the cognizant regional bureau and the central bureaus,
particularly G and BHR. The nature of the assistance will vary
according to the planned program and the skills available at the
mission. Travel funds will be needed for rendering on-site
assistance to field missions.

D. For exit (non-presence) country programs, an operating unit
outside the host country will need to be designated and assume
responsibility for managing the program.

FUNCTIONS OF TECHNICAL OFFICERS

Technical Officers Core Functions at Post

The strength of technical officers in meeting the needs of customers and showing results lies in their wealth of practical experience managing development programs. They know their technical areas but they are equally good in institutional development, management systems that work in local cultures, policy dialogue, logistics and a range of other skills key to achieving results.

1.   Other USAID Technical Field Officers

In many cases, the technical officers in field Missions are foreign service nationals (FSNs) or personal service contractors (PSCs).   Matching FSOs to the overseas job is not easy and the right person is not always available at the right time. Using a PSC in some cases is the only alternative. In other cases, USAID local staff are highly skilled and are doing technical work. A senior FSN filling in, as appropriate, for the USDH technical officer is fast becoming the standard.

As overseas restructuring and downsizing occurs, it will be imperative to look to local labor markets for opportunities to provide qualified technical staff at reduced cost. There are advantages to using skilled local labor which go beyond cost savings including the unique benefit brought to USAID's customer outreach through language and cultural skills that USDH cannot bring to bear.

Many of our partners and counterparts have excellent technical capacities. Technical skills in USAID officers may be less important in these cases. Also, some technical activities address institutional and management problems where the right technical skills lie in financing or management rather than one of the sectoral technical areas of USAID. Existing backstop codes are inadequate to describe the range of skills actually required.

2.   Role and Functions of the USAID Technical Field Officer

The role of technical officers in-country consists of technical oversight, expertise, leadership, and outreach on institutional, operational, and policy issues. Their focus will continue to be technically informed management of complicated development issues, and execution of high quality programs. Those technical

officers at post will perform the following functions:

" Provide technical guidance and direction during planning
   activities, defining the country setting, the results
   framework, and the SO, assuring that the SO objectives are
   clear, achievable, make sense and are managed to achieve
   results.

" Continue to manage or oversee actions aimed at measurable
   results, and to identify appropriate targets and indicators
   for measuring those results, and tools needed and the
   appropriate approaches.

" Continue to monitor and evaluate contract work being carried
   out so that strategy or approach adjustments can be made in a
   timely manner including when external circumstances have
   changed to the degree that the SO or activities under the SO
   need to change.

" Continue to serve a critical role as liaison with the host
   country government technical cadre, donors, and the PVO
   community as partners and/or customers in the development
   process.

In limited Missions, the technical officer will have a greater
responsibility since the SO team will rely more on virtual team
members. There will be a good deal less of the day-to-day
interaction with counterparts and partners offered by in-country
staff. The technical officer in these cases should be of
broader and greater experience with proven development skills.
All limited missions should have one such senior technical
officer.

3.   Changing Skills of USAID Staff

Although USAID is maintaining its program priorities based on
the five Agency goals, three factors are important in changing
the program mix and thus the technical and experiential skills
of the Agency staff.

" At the start of the REGO II process, after a retreat with
   senior staff, the Administrator stated that the Agency will:

   a)   enhance capacity to respond to crises;

   b)   strengthen capacity to work in post crisis
          transitions; and

   c)   continue in sustainable development with an
          increased focus on the root causes of instability

in priority countries.

"   Funding available for economic growth goals continues to be
     constrained by directives and earmarks from Congress. We can
     expect that the trend will continue as we restructure and
     reduce our program size, especially since we will be sharply
     downsizing our ENI Bureau.

"   Funding for sustainable development will drop sharply while
     International Disaster Assistance and Food for Peace Title II
     (development and emergency programs) will continue at the
     present levels.

a.   Humanitarian and Transition Skills

First, the technical staff of the Agency needs to
build its experiences handling transitions and crises so that
staff skills are broader than many currently used in
development. Given the richness of most experiences with
development, learning to apply technical skills in crises and
transitions will be a relatively easy task. However, the Agency
needs to be careful that we do not push staff into relief and
transition work without prerequisite skills. In the near term,
we need to train technical staff in the relief/transition
context. Basic understanding of the different set of rules and
regulations surrounding IDA and FFP is an important part of that
training. Fundamentally, the best training will be on-the-job.

As the Agency works more on transition assistance and
conflict prevention, and as it continues to have large
humanitarian assistance budgets, we need to shape our future IDI
classes accordingly -- both in terms of skills we week in IDIs
and their first assignment within USAID. (Humanitarian and
transition assistance countries overseas should be possible
first tours if they have sufficient staff to provide mentoring.)
 We need to convey to IDIs that assignments in humanitarian and
transition assistance programs are as important and career
enhancing as traditional development programs. This could even
mean extended rotation assignments within BHR/Washington.

b.   Using Food Resources Better: A Food Security
         Priority

Food For Peace (FFP) resources will be as large as the
DA budget in the year 2000. FFP food is essentially earmarked
for food security objectives under the Farm Bill. Programming
food aid to achieve humanitarian and development food security
objectives will take a set of technical staff somewhat different

than the present mix.

The reengineering of FFP to integrate food aid into
the strategic objectives of Missions is still in its early
stages. The task of program integration requires much staff
time and is greatly increasing the impact of food aid. PVO
partnerships and consultations are essential since FFP DA
funding allocations are driven by PVO proposals. Mission
participation and coordination with PVOs on the proposals are
equally important.

Changes in technical staff could include an increase
in the proportion of Food For Peace Officers although this is
not the historic trend in the Agency. Agricultural officers
could, with a minimum of retraining, also be assigned to carry
out FFP activities. Historically, many have done so. Such
officers will know the commodity and operations side of FFP aid
and understand technical measures and factors in food security
so as to manage for greater FFP development impact. Many of
USAID existing staff have the requisites to be trained as FFPOs.
Some training of existing FFPOs may also be required. Just as
is the case with other technical officers, specialists will need
to back-up the FFPO for specific PVO programs and impact
analyses. These technical back-up staff can generally be FSO
technical officers in the Mission, region or USAID/W. The needs
are for nutrition staff, health officers, agriculturalists and
rural development officers. The present mix of USAID staff is
reasonably good in the needed areas, but more emphasis could be
placed on operational aspects of food aid.

c. Economic Growth Staff

There will be an increased demand for economic growth
staff in the food security priority areas. This positive trend
may be matched by a downward trend in the need for economic
growth staff doing traditional work using economic growth DA
funds, which continue to decline. Where the staff balance lies
is not clear at this time.

d. Crises Prevention

Crises prevention is an emerging priority of the
Agency, but the technical foundation and needs for USAID work in
crises prevention are not clear at this time.

FUNCTIONS OF FINANCIAL MANAGEMENT OFFICERS

USAID organizational units overseas must establish financial
management operations to control, protect, account for and
report on the status of mission resources in accordance with
Agency and U.S. Government regulations. The following financial
management functions are considered to be common elements of
support operations for all categories of USAID missions.

FUNCTION	FULL MISSION	LIMITED PROGRAM	EXIT PROGRAM
Budget - O.E.	1	1&2(FSN)	4/2
Financial Analysis -Oversight[8]	1	1 Oversight 2 FSN	COTR or P.O.
Accounting - Quality Control (Exception Process)	1	1 & 2	Franchise PVO/NGO
Budget Allowances:-Activity Level			
(O.E. by Controller)	1	1 FSN	N/A
(Program to S.O. Level)	4/1	4/1	4/2
Miscellaneous Recurring Obligations	1	1	N/A
Payroll:			
(USPSC - Offshore)	1/4	1/4	NONE
(USPSC - Resident)	1/4	1/4	NONE
(FSN - DH)	1 FSN	1 FSN	NONE
(FSN - PSC)	1 FSN	1 FSN	NONE
(TCN - PSC)	1 FSN	1 FSN	NONE
(USDH)	1/4	1/4	4
Cashier	1 or 5	5	NONE
Property (U.S. Owned)- Accounting, Inventory Reconciliation	3/1	3/1	NONE
Accounts Receivable- AID/W Automatic	3/1	3/1	3/4

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[8]Does not include financial analysis function that is part of S.O. Team responsibility.

Voucher Processing (NMS- Many fully automatic) (Advances/1099s/Certifications)	1/3	1/2/3	3/4
Audit Management:			
(Recipient-contracted)	1/4	2/4	4
(Pre-award)	1/4	2/4	4
(Audit follow up)	1/4	2/4	4
Internal Controls for Financial Operations	1/3	2/3	3/4
1311 Process	1/3	2/3	3/4
Cash Reconciliations (1221)	1/3	2/3	3/4
Accruals	3	3	3
Local Currency:			
(Trust Funds)	1/3	1/2/3	N/A
(Host Country Owned)	1	1/2	2
Self Help/ Sec 116(e)	1/5	1/2/5	2/5
Financial Management - Oversight	1	2	4
ICASS	4/5	4/5	4/5

Legend:
1. Mission
2. Regional office
3. New Management System (NMS)
4. AID/W
5. U.S. Embassy

Nonexpendable (NXP) property financial management includes inventory reconciliation, general ledger and subsidiary ledger accounting records.

Computer Operations will be the responsibility of the executive Office and includes information resources management, installation and maintenance of communications modalities such as telephone, fax, VSAT linkages, official pouch, and cable traffic; ADP systems administration and support to the NMS manager; C & R operations; etc.

FUNCTIONS OF REGIONAL LEGAL ADVISORS

<u>FUNCTIONS OF REGIONAL LEGAL ADVISORS</u>

"   Participate in planning, achieving and judging results of strategic objectives as members of strategic objective and results package team members;

"   Draft, negotiate and interpret bilateral technical and economic assistance agreements regulating the USAID presence in a particular country or countries, and compliance therewith;

"   Provide advice to field staff on a variety of administrative matters, including personnel issues involving US and FSN direct-hire and contractor staff;

"   Support USAID administrative operations in the areas of real property management, local labor laws and local compensation plan issues;

"   Advise on proposed and existing legislation and regulations affecting the Agency, and on foreign and international law;

"   Serve as Deputy Ethics Adviser for the Missions served;

"   Advise on Federal and USAID regulations governing contracts, grants and cooperative agreements;

"   Participate in Mission responses to GAO reports, Inspector General audits, and Congressional inquiries;

"   Provide legal advice to the USAID Office of the Inspector General personnel overseas;

FUNCTIONS OF REGIONAL CONTRACTING OFFICERS

" Design implementation strategies to ensure that implementing organizations are able to achieve intermediate results and ultimate strategic objectives;

" Plan, solicit, evaluate, negotiate, award, administer and terminate direct contracts, grants, cooperative agreements, host country contracts, PASAs, RSSAs and other interagency agreements;

" Participate in the planning, achieving and judging of USAID's strategic objectives as core members of strategic objective and results package teams;

" Explain, interpret and advise on Federal and USAID regulations and policies affecting contracts, grants and cooperative agreements;

" Plan, direct and supervise activities of procurement professionals, contract negotiators and other procurement support staff;

" Negotiate the settlement of questioned costs and other recommendations from Office of the Inspector General audit reports;

" Coordinate and arbitrate responses to contractors/grantees leading to the resolution of claims and disputes;

" Provide formal and informal training to technical staff, host country technical panelists, procurement professionals and support staff;

" Ensure the routine close-out of contract and assistance instruments.

FUNCTIONS OF EXECUTIVE OFFICERS

USAID organizational units overseas must establish administrative operations to support program initiatives. At a minimum, these administrative operations must be sufficient to allow USAID to occupy Government-owned or leased offices, employ local U.S. and foreign service national staff, acquire nonexpendable and expendable property, provide for the health, welfare, and security of mission employees, procure goods and services from local and off-shore sources, and otherwise manage support activities to ensure effective and efficient administrative operations.

The following administrative functions are considered to be common elements of support operations for all categories of USAID mission. Note that all functions -- with the exception of those that must be performed by USDH employees -- may be acquired from a variety of public and private sources.

- Real property management, to include residential and office leasing/acquisition/disposal, renovation and maintenance; representation on interagency rent and housing boards; acquisition of public utilities; OSHA fire safety requirements and procedures; etc.

- Personnel administration, to include the recruitment of U.S. and foreign service national staff; maintenance and administration of personnel systems, procedures and policies; coordination and acquisition of staff training initiatives; administration of evaluation and incentives programs for all categories of employees; liaison with Embassy personnel office, etc.

- Information resources management, to include the installation and maintenance of communications modalities, such as telephone, fax, VSAT linkages, official pouch, and cable traffic; ADP systems administration and support to the NMS manager; C & R operations; etc.

- Unit security, to include all HB 6 requirements regarding the handling and storage of classified information; liaison with the Embassy RSO; compliance with residential and office physical security standards; evacuation planning and participation in the post Emergency Action Plan; etc.

- Nonexpendable (NXP) and expendable property management, to include the storage, use, repair and/or replacement of all

office and residential furniture, furnishings and equipment;
annual NXP inventory and financial records reconciliation;
acquisition planning; maintenance and issuance of expendable
cupboard stock; NXP property disposal; etc.

- <u>Local and off-shore procurement</u>, to include the acquisition
of OE-funded goods and services; the limited acquisition of
program-funded commodities and personal and institutional
services; acquisition planning; liaison with RCO and Embassy
procurement staff; etc.

- <u>Motor vehicle operations</u>, to include the safe and efficient
management of motor pool services; USG-owned vehicle (GOV)
maintenance and repair; utilization policies and control; GOV
replacement schedules; etc.

- <u>Travel and transportation services</u>, to include the shipment
and receipt of official commodities, supplies and household
effects; import and export customs clearances; local and
international travel reservations and ticketing; etc.

- <u>Planning, budgeting and management analysis</u>, to include
developing, in collaboration with the Controller, the mission
operating expense budget and subsequent monitoring of
expenditures; development of annual resource requirements and
staffing needs; prescribing internal control procedures and
policies for administrative operations; and the continuous
evaluation of mission activities to ensure the efficient and
effective utilization of USG resources.

FUNCTIONS OF PROGRAM AND PROJECT DEVELOPMENT OFFICERS

The following program management functions which are relevant to USAID's new operations system typically now are performed by either project development (PDO) or program officers (PO). While in this paper mission staffing needs are discussed in terms of either PDOs or POs, in fact it is our belief that the Agency should not distinguish between the two because similar general skills are needed for both categories, and while individuals may have a particular backstop, frequently they can perform the work of the other backstop with similar capability. Instead of using the current backstop model, the Agency should establish a skill bank and then staff individual positions in accordance with the specific skills needed for the position. In this case, there would be no distinction between PDOs and POs, but rather a recognition that there are certain skills related to mission and program management, and that in any particular mission the mix of skill requirements would help determine the individuals selected for positions.

In some instances, this may mean that technical officers have specific responsibility for performing these management functions as well, and indeed this often is the case now (and they certainly will participate in many of them). However, if one goal of the Agency is to allow greater opportunities for technical officers to perform their technical functions, then a corollary to that is that the Agency will fulfill general management functions with other staff. If technical officers take on responsibility for all general management functions, their time available to work in their respective areas of expertise will be reduced.

In fact, program and project development officers provide strong complement to technical officers in the development and oversight of Agency programs. This fact must be taken into account in judging the relative proportions of "technical" and "support" staff. Moreover, it is not unusual to place the program economist in the program office, or to place the management of P.L. 480 local cost generations within the program/PDO unit. In short, the line between the program and technical officers is, at best, blurred.

Program management (i.e., the work of PDOs and POs) includes the following functions:

```
    strategic planning
    activity planning
    implementation
    monitoring and evaluation
    budgeting
    procurement
    financial management
    responding to Embassy and Washington
```

Each of these is discussed separately below, as it pertains to
the work that a project development / program officer may do.

    Strategic planning: facilitates identification of strategic
    objectives, development of results frameworks, definition of
    illustrative approaches, and computation of budget; defines
    overall country environment.

    Activity planning and obligations: completion of design
    documentation; preparation of CNs; preparation/amendment of
    SOAGs; definition of results packages with work plans;
    definition of activity-level indicators and targets;
    monitoring of special interests; host country contribution
    definition and monitoring.

    Implementation (achieving): monitors achievements as compared
    to planned outputs and results; monitors performance of
    budget versus pipeline; works with host country government on
    cross-cutting implementation issues affecting USAID-assisted
    activities; monitors and advises USAID on host country
    compliance with requirements of bilateral agreements;
    prepares and advises on delegations of authority; oversight
    of official correspondence for policy consistency, accuracy
    and clarity; coordinates public relations.

    Monitoring and evaluation: Facilitates development of
    monitoring and evaluation plans for all strategic objectives
    and activities; coordination of evaluations; coordination of
    Results Review report and internal portfolio reviews;
    preparation of close-out reports; quality control for
    maintenance of official USAID files on program-funded
    activities.

    Budgeting: Develops or assists USAID/W with the development
    of the Congressional Presentation; develops Resource Request
    report; leads negotiations with USAID/W budget offices;
    distributes OYB to SOs; monitors compliance with
    Congressional directives; manages and/monitors local currency
    programming; develops reliable activity-level budget
    estimates.

Procurement: Facilitates procurement actions by reviewing procurement requests for consistency with USAID policies and agreements, clarity and contractibility; manages identification and registration of PVOs; serves on technical evaluation panels.

Financial management: May commit funds for specific activities.

Responding to Embassy and Washington: Either responds or coordinates the response to Embassy and USAID/W on matters concerning various topics, including budgets, activities, special interests, CPs and CNs/TNs.

DESCRIPTION OF CORE FUNCTIONS PERFORMED AT POST

The above list defines the functions that would be performed at post assuming that there is sufficient OE to support the necessary staff. Because OE may not be sufficient, this section identifies those functions which are particularly important to be performed at post.

" Developing strategic objectives and results frameworks requires a sustained effort working with partners and customers over time, and is not conducive to a schedule of intermittent short-term visits.

" Similarly, the definition and management of results packages, development of work plans, and the work of implementation, all require a strong and committed working relationship among team members, both within and outside the mission, and would be difficult to perform without key members resident in the country.

" Performance monitoring, to be effective, must be integrated into the mission's regular work, and requires some form of full-time presence.

" Making many budget and commitment decisions (although not necessarily completing all necessary paperwork) requires an intimate knowledge of a program which frequently is attained only by being resident where the program is being implemented.

" Responding to Washington requests for information at times requires a field presence - with the introduction of the New Management Systems this requirement may be reduced, but often requests are so unique that a standard data base will not provide adequate information.

In all of the above areas, virtual team members can assist and facilitate the completion of work, but probably would not be able to effectively take on full responsibility for the work.

DESCRIPTION OF FUNCTIONS PERFORMED AWAY FROM POST

As a result of reduced levels of OE and the consequent inability to fully staff missions, certain functions could be performed away from post, either centrally from Washington or from a neighboring country or regional office.

" Some of the work for preparing a country strategic plan could be done through TDYs by staff from any location, although for a full mission at least one person, for general program management purposes, resident in country would be a requirement.

" With the exception of definition and management of results packages and work plans, other work of activity planning and obligations could be performed from a different location.

" Much of the paperwork involved with budgeting and fulfilling other Agency requirements (e.g., preparation of congressional presentation material and of congressional notifications) could be accomplished outside of the country involved.

" Procurement should not require a country presence, but experience has proven that the closer procurement officers are located to the countries they serve, the better the services provided. If we cannot afford to locate a procurement officer in each full mission, then PDO/PO staff in the mission should have some procurement expertise to facilitate the procurement process.

OVERSEAS WORKFORCE RESTRUCTURING

ADVISORY GROUP AND WORKING GROUP MEMBERSHIP

ADVISORY GROUP

The workforce restructuring advisory group consisted of the following individuals:

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        Chair, M/MPI, Carol McGraw
          PPC, Rosemarie Depp
          M/B, Richard Nygard
          M/OP, Marcus Stevenson
          M/FM, Don Charney
          DAA/LAC, Eric Zallman
          DAA/ENI, Donald Pressley
          M/AS, David Mein
          DAA/ANE, Terrence Brown
     DAA/BHR, Leonard Rogers
          DAA/G, Ann VanDusen
          DAA/M/HR, Frank Almaguer
          GC, Kathleen Hansen
          DAA/AFR, Carol Peasley
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WORKING GROUPS

Program Development

   The activities and processes integral to managing program
   results, to include strategic planning, achieving, and
   monitoring and evaluating performance. The primary functional
   areas examined are those of Program Officer and PDO. Members
   of the working group are:

```
Group Leader -- Quality Council, Barry Burnett
        M/ROR, John Bierke
        M/ROR, Lawrence Tanner
        LAC/DPB, Doug Chiriboga
        PPC, Mike Rugh
        PPC, Vince Cusumano
        LAC/DPP, Robert Jordan
        AFR/DP, David McCloud
        M/B, Steve Ryner
        G/HCD, Robert Wrin
        ENI/ECA, Maria Mamlouk
        G/PHN, John Rose
        ANE/ORA, Frank Young
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        USAID Tegucigalpa, Leon Waskin
        USAID La Paz, Olivier Carduner
        USAID Tegucigalpa, Richard Rhoda
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Program Technical Support

   The acquisition and application of specialized technical
   resources in support of program development activities, to
   include the development and implementation of strategic
   objectives and lower-level program interventions. Members of
   the working group are:

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Group Leader -- M/MPI, Susan Walls
        M/ROR, Sher Plunkett
        G/PDSP, Tim Mahoney
        BHR/PPE, James Dempsey
        M/MPI, Larry Laird
        M/ROR, Richard Byess
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Legal and Contracting Support

   Specialized administrative expertise and services in support
   of program and administrative operations. Members of the
   working group are:

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Group Leader -- M/MPI, Sandra Malone-Gilmer
        M/OP, James Murphy
        M/OP, Gary Kinney
        M/ROR, Wayne King
        GC/ANE, Marta Velazquez
        GC/LAC, Annette Adams
        AFR/WA, Steve Wisecarver
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Financial Management

   Financial analysis, audits and budget accounting processes, to
   include the administration of AWACS and support to SO teams to
   ensure adequate funds accountability and support for approved
   strategic objectives and administrative operations. Members
   of the working group are:

```
Group Leader -- M/MPI, Mike Rogal
        M/FM, Tony Cully
        AFR/DP, Robert Leonard
        M/FM, David Ostermeyer
        M/MPI, Kyle Schooler
        ANE/AMS, Sharon Nichols
        M/B, Marcus Rarick
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Administrative Management

Functions provided in support of program operations include: Personnel administration, real property management (owned and leased), IRM/ADP systems administration, OE contracting, unit security, and employee logistical support (international and local travel/transportation, residential and office furniture, equipment and supplies). Members of the working group are:

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Group Leader -- M/MPI, Ronald Olsen
        M/AS, Mike Trott
        M/B, Calvin Watlington
        ENI/AMS, William Granger
        M/HR, Peggy Thome
        M/HR, Maribeth Zankowski
        M/HR, John Martin
        M/MPI, John Haecker
        USAID Budapest, Jerry Jordan
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